

RETURN APPLICATION TO:
Virginia Department of Health
Office of Drinking Water
109 Governor Street, 6th Floor
Richmond, VA 23219
(Voice: 804-864-7501)
(FAX: 804-864-7521)

VIRGINIA DEPARTMENT OF HEALTH (VDH)
OFFICE OF DRINKING WATER (ODW)
DIVISION OF CAPACITY DEVELOPMENT

NOTE: Submit two
complete and signed
applications and two copies
of all required attachments.

2018 APPLICATION FOR PLANNING & DESIGN FUND PROGRAM
FINANCIAL ASSISTANCE

Application also available at:

<http://www.vdh.virginia.gov/drinking-water/office-of-drinking-water/financial-construction/drinking-water-funding-program-details/>

Year-Round Submittals Accepted

PROJECT NAME: _____

Section A: Submittal Information

WATERWORKS OWNER INFORMATION

1. Legal Owner(s) of Waterworks: _____
2. Address: _____
3. Contact Person: _____
4. Telephone Number: _____
5. Alternate Phone Number: _____
6. Fax Number: _____
7. Email Address: _____

APPLICATION PREPARER INFORMATION

1. Firm / Individual Name: _____
2. Address: _____
3. Contact Person: _____
4. Telephone Number: _____
5. Alternate Phone Number: _____
6. Fax Number: _____
7. Email Address: _____

Section B: Preliminary Questions

1. Complete Table 1 in order to determine if you are eligible and/or ready to apply for funds:

Table 1: Pre-Requirements for Applying

Col. A	Col. B	Question
Yes	No	Is the waterworks classified as either a community or nonprofit, nontransient noncommunity waterworks?
Yes	No	Is the total population served by the waterworks $\leq 10,000$ people? Or, does the project have a design benefit population $\leq 10,000$ people?
Yes	No	Are the waterworks and owner in good standing to receive state or federal funds (non-debarment or suspension)?
Yes	No	Is the waterworks a public water supply; not state, federally, or tribally owned?
Yes	No	Has the project application been approved by a controlling board, council, president, etc. of each waterworks that is applying for funding ?
Yes	No	Does the applicant or waterworks have documented evidence of non-compliance with state or federal drinking water regulations?
Yes	No	Expenses already incurred have been excluded from this application?

If the answer to any question above is a NO, STOP as you are not eligible / not ready to apply for funds. If all responses to the questions in Table 1 are “Yes”, the waterworks and project are eligible / ready to apply to the Planning & Design Fund Program.

2. Waterworks Information

- a. Name of Waterworks making the application: _____
- b. PWSID: _____
- c. City / County: _____

3. Is the waterworks existing or proposed?

☐ Existing ☐ Proposed: When will the proposed system begin serving water to the public? _____

4. What is the waterworks type?

☐ Community ☐ Nonprofit, nontransient noncommunity (NTNC)

If nonprofit NTNC, attach proof of nonprofit status.

5. Who owns the waterworks?

☐ Municipality (Town/County) ☐ Service Authority ☐ Non-Profit Entity ☐ Private Entity

Note: State or Federally-Owned Waterworks are not eligible for funding through this program.

6. Are multiple owners involved in this project?

☐ No ☐ Yes

- a. *If No*, has a controlling board, council, corporate officer, etc. approved this application?

☐ Yes: Attach Signed Resolution or Letter of Intent ☐ No: *If No, explain:* _____

- b. *If Yes*, list all owners in Table 2 and provide documentation of the legal arrangement between the owners (e.g., agreement, joint resolution, or contract) as an attachment to this application.

Table 2: Collaborating Owners

Owner Name	Waterworks / Utility Represented	PWSIDs Represented	Agreement/ Resolution/ Contract Attached

7. Complete Table 3 with the waterworks name, PWSID, and the design benefit population for this project.:

Table 3: Project Population

Waterworks Name	PWSID	Population Affected by Project
Total Population Affected by the Project		

Note: Projects with a design benefit population of greater than 10,000 people are not eligible for this funding program. See instructions for details.

8. Briefly summarize documented evidence of noncompliance with state or federal drinking water regulations. Copies of documents that show noncompliance will be included with Section D of the Application.

9. Have any expenses that may already have been incurred been excluded from this project?

☐ Yes ☐ No *If No, these expenses must be removed before submitting the application.*

Section C: Project Summary

1. Name of proposed Project: _____
2. Location of Project (i.e. locality, city, county): _____
3. Type of Project:
 - ☐ Preliminary Engineering Report (Planning); *Brief Description:* _____
 - ☐ Engineering Plans & Specifications (Design); *Brief Description:* _____
 - ☐ Source Evaluation/Replacement/Addition; *Brief Description:* _____
 - ☐ Distribution System Evaluation; *Brief Description:* _____
 - ☐ Leak Detection; *Brief Description:* _____
 - ☐ Pilot Study of Treatment; *Brief Description:* _____
 - ☐ Consolidation; *Brief Description:* _____
 - ☐ Other; *Brief Description:* _____
4. Does the project involve environmental review?
 - ☐ No ☐ Yes *If Yes, costs associated with environmental review must be covered by non-VDH funds.*

Section D: Issues Addressed by Project

The chart in this section includes issues which may or may not be addressed by the project. Answer “Yes/No or NA” for each “Issue to be addressed” in Table 4. A “Yes” response indicates the project addresses that particular issue. For any issue which will be addressed by the project provide a brief description in Column 4 and attach documentation. Provide the name of the attachment in the “Attachment Name” column.

NOTE: Supporting documentation for any issue marked “Yes” (in table below) is required. Failure to provide documentation will result in the application being incomplete. Supporting documentation includes letters from VDH, Notices of Violation, Sanitary Surveys, documentation of the problem from a licensed professional, chemical results, photos, and other inspection reports. The applicant’s written description of the problem does not constitute documentation.

Table 4: Issues Addressed by Project

	Yes/No or NA	Issue to be addressed	Brief Description of issue including dates	Attachment (name)
Acute Health Risk		Waterworks under formal enforcement action, Commissioner-declared health hazard, or emergency declaration		
		Surface Water Treatment Rule violations		
		Revised Total Coliform Rule violations (PMCL)		
		Nitrate violations		
		Continuous boil water notices		
Chronic Risk		Formal enforcement actions (e.g., consent order, special order, court order) or Commissioner’s letter		
		Lead and Copper Action Level exceedances		
		Primary Maximum Contaminant Level (PMCL) violations		
Public Health Concerns		Inadequate treatment		
		Inadequate source quality		
		Inadequate source quantity		
		Inadequate storage and/or distribution system pressure		
		Will extend water supply to homes not served by a waterworks that have inadequate private water sources		
		Preventing or resolving conditions that favor the entrance of contaminants into the distribution system, including water loss $\geq 40\%$ in a defined pressure zone		
		Documented inadequate well condition		

Section E: Detailed Project Description, Costs, and Timeline

1. Describe, in detail, the problem(s) that the project will address and/or solve: _____ Distribution-system projects submitted for funding through this program shall not be broken into smaller, separate projects for the same single distribution zone.
2. Explain (if applicable) noncompliance with state or federal drinking water standards and how they are relevant to the project scope: _____
3. Describe short-term benefits of the completed project: _____
4. Describe long-term benefits of the completed project: _____
5. If new connections are projected to be added to the waterworks in the context of this project, does the waterworks have user agreements in-place to ensure that the connections will be made?
☐ Yes ☐ No ☐ No new connections will be added with this project
If Yes, attach a copy of the user agreements: _____
If No, explain: _____
6. If this project is needed before future improvements can be made at the waterworks, describe the timing and connection between the Planning & Design Fund Program activities and future modifications/construction/etc. at the waterworks: _____
7. Will this project address a problem that, if left unaddressed, is highly likely to worsen and put water service/quality/quantity at risk? (Meaning: Is it proactive?)
☐ No ☐ Yes *If Yes, describe the situation and how funding this project now will prevent future escalation of the problem: _____*
8. Has the waterworks previously attempted to solve the problem? ☐ No ☐ Yes *If Yes, describe what has been done, when it was done, what the outcome was, and how it was funded: _____*
9. Provide details on the estimated cost of the project: _____
10. Document how the cost of the project was determined. Attach copies of estimates if available: _____
11. Additional relevant information (optional): _____

Section F: Proposed Financing

PART 1: Calculation of Funding Request:

Complete the Table 5. In determining the total cost of the project, estimates should be secured from appropriate vendors to support the amount being requested. Non-VDH funding includes all funds, either directly from the waterworks or from other entities, that have been secured and will be used for the total cost of this project. They must be detailed in Part 2 of this section. Note that environmental review, when required, must be paid with non-VDH funds. If environmental review is part of the overall project, funding must be accounted for as “Non-VDH funding”.

Table 5: Funding Request

Total Cost of Project	\$
Non-VDH Funding Secured	(\$)
Amount Requested from VDH	\$

PART 2: Non-VDH Funding

In Tables 6 and 7 below, document non-VDH funding sources that are going to be used for the project including amounts and status. If funds have been secured, that amount should also be reflected in Part 1 (above). “Status of Funding” should be sufficiently descriptive as to describe the current state of the funding source.

Table 6: Local or Other Grant Funds:

Source of Funds (Name of Entity)	Amount	Status of Funding
	\$	
	\$	
	\$	

Table 7: Loan Funds:

Source of Funds (Name of Entity)	Amount	Status of Funding
	\$	
	\$	
	\$	

PART 3: Complete Exhibit A

Exhibit A brings together project scope, timeline, expenses and funding. Exhibit A (at the end of this application packet) includes a summary of all key activities, expenses, and the timeline associated with the project. The financial portion of Exhibit A should match what is reflected in Parts 1 and 2 (above). Failure to include a complete Exhibit A will result in the application being rejected. Complete: *Exhibit A: Summary of Project, Including Timeline and Expenses*.

Section G: Connections & Population

Complete the following table using project-specific numbers of connections, population, and percentages:

	Waterworks Connections		Population Served		% of Connections Metered	
	Current	Future*	Current	Future*	Current	Future*
Total Number						
Residential						
Non-Residential						
Describe which connections will be affected by this Project:						

*“Future” in the chart above represents projections following the *completion* of the project.

Section H: Water Rates & Fees

Note: VDH reserves the right to decide if funding is contingent upon adjusting water rates and/or requiring savings for financial reserves.

1. Describe or attach the current rate schedule: _____
2. When were rates last adjusted? _____ Describe the adjustment: _____
3. What is the connection fee for water? \$ _____
4. What is the availability fee for water? \$ _____
5. Average residential monthly water bill: \$ _____
6. Median Household Income (MHI) for the county or the smallest census tract or tracts that contain the project area: \$ _____; Source of data: _____ (Provide project-specific income survey data for those projects not large enough to be identifiable via census information. Documentation for at least 75% of all affected customers must be included in order for this to be used.)
7. Provide details regarding customer billing:
 - a. Frequency: ☐ Monthly ☐ Quarterly ☐ Other: _____
 - b. Charges based On: ☐ Metered Usage ☐ Fee/Service Charge ☐ Other: _____
 - c. If based on usage, frequency of meter reading: ☐ Monthly ☐ Quarterly ☐ Other: _____
 - d. If "Other" is selected for any question above, explain: _____
8. Are billing / meter reading procedures the same for residential and non-residential service connections?
☐ Yes ☐ No If No, Explain: _____
9. Will completion of the proposed project result in a change in water rates, fees, billing, or meter reading within 5 years after completing the project?
☐ No ☐ Yes If Yes, Explain: _____

Section I: Sustainability

1. Percent (%) water loss based on the past 18 months: _____
If project addresses water loss, documentation of water loss must be attached.
2. Does the waterworks have a current Asset Management Plan (AMP)? ☐ No ☐ Yes
If Yes, briefly describe the AMP and specify when it was updated: _____
3. Does the waterworks have a reserve fund? ☐ No ☐ Yes
If No, explain how emergency expenses are handled: _____
If Yes, briefly describe what reserves are maintained: _____
4. Does the waterworks have a detailed budget? ☐ No ☐ Yes
If No, explain: _____
If Yes, attach a copy of the most recent budget: _____
5. Does the waterworks have audited financial statements or a CAFR? ☐ No ☐ Yes
If No, explain: _____
If Yes, attach a copy of the most recent document: _____
6. Does the waterworks complete periodic water audits? ☐ No ☐ Yes
If No, explain: _____
If Yes, attach a copy of the most recent water audit: _____

Section J: Application Certification

Sharing of Application Information:

VDH may share information from this application with other funding entities in an effort to improve sharing of information, partnerships, and assisting you in seeking other funding opportunities.

Do you have any objections? ☐ Yes, I object. ☐ No, I have no objections.

Application Certification:

Submittal of this application is only a starting point for discussion and is not a binding agreement on either party.

Incomplete information may result in the delay or rejection of the application request.

The undersigned authorized representative of the waterworks making application certifies that the information contained herein and the attached statements and exhibits are true, correct, and complete to the best of his knowledge and belief. The undersigned agrees to clarify or supplement information pertaining to this application upon request. The undersigned recognizes that the information contained herein may be subject to state Freedom of Information Act requirements. **The undersigned acknowledges that a part of any interest required on a closed loan can be used by VDH to support the drinking water program.**

NAME and TITLE: _____

ORGANIZATION: _____

SIGNATURE: _____ DATE: _____

Reminders:

Submit all attachments, documentation, and necessary forms. VDH will consider up to three applications per regulated waterworks submitted through the Planning & Design Fund Program application process in any funding year. However, funding offers will be limited to a maximum of two active funding offers per Public Water System Identification Number per funding year. These funds are intended to position waterworks for application for construction funding for larger projects. As such, the scope of distribution-system projects submitted for funding through this program shall not be broken into smaller, separate projects for the same single distribution zone. Projects that are awarded Planning & Design Funds must be completed within 15 months of signing of the contract, and as such must be scaled to be achievable within that timeframe. Projects that exceed the 15-month timeframe may have funding withdrawn.

All recipients must comply with the Virginia Public Procurement Act, our program requirements, and procurement procedural guidelines.

EXHIBIT A

SUMMARY OF PROJECT, INCLUDING TIMELINE AND EXPENSES

Applicant: _____

Project Number: PF - _____

Project: _____

Please provide a summary of the key activities associated with this project and their purpose:

The following budget should reflect all eligible costs associated with the project.

ACTIVITY	ESTIMATED COST	START DATE	PROJECTED COMPLETION DATE
TOTAL Project Cost =		\$ _____	Additional Comments:
Non-VDH Funding Secured =		(\$ _____)	
VDH Funding Requested =		\$ _____	

VDH reserves the right to bypass the planning fund application and withdraw funding if the above schedule is not met.